

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
1011-0057

Re Application Of: Peter David Jenkins et al.

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/502,230	July 21, 2004		26568		

Title: CATERPILLAR TRACTION APPARATUS

Address to:  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

# TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

NOV 08 2004

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## Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Director is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below.
- ☐ Charge the amount of \_\_\_\_\_
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Dated: November 5, 2004

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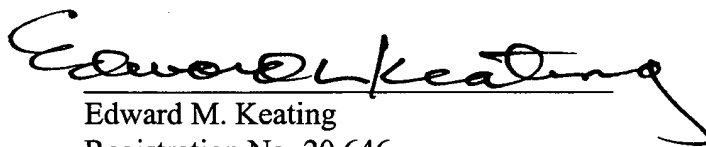


Dummett Case 1011-0057  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: JENKINS, Peter David et al. ]  
Serial No.: 10/502,230 ] Examiner: Not Yet Assigned  
Filed: July 21, 2004 ] Art Unit: Not Yet Assigned  
For: CATERPILLAR TRACTION ]  
APPARATUS ]

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Edward M. Keating  
Registration No. 20,646

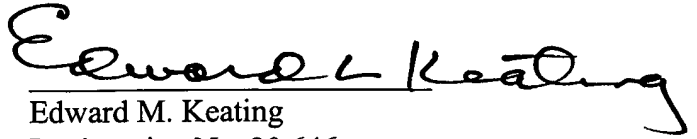
Commissioner for Patents  
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INFORMATION DISCLOSURE STATEMENT

In accordance with the provisions of Rule 1.97 and 1.98 of the Patent Office Rules, applicant submits a copy of PCT International Search Report for International Application No. PCT/GB 03/00273, a Search Report and a Further Search Report for British Patent Application No. GB 0201793.7. Applicant is also submitting a completed Form PTO/SB/08a listing all

of the patents cited in the search reports as well as copies of the non-United States references as well as an English language translation of the abstract of French Patent No. 2 425 394.

Respectfully submitted,

  
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Registration No. 20,646

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Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

**1**

of

**1**

**Complete if Known**

Application Number	10/502,230
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Filing Date	July 21, 2004
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First Named Inventor	Peter David Jenkins et al.
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Art Unit	Not Yet Assigned
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Examiner Name	Not Yet Assigned
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Attorney Docket Number | 1011-0057

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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